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PATENT  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Altomare et al.  
Serial No. : 09/397,704  
Filed : September 16, 1999  
Title : SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED  
EQUITY LINKED FINANCIAL INSTRUMENTS

Art Unit : 3624  
Examiner : Geoffrey R. Akers

Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450

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**RESPONSE AND AMENDMENT**

This communication is in reply to the non-final Office action mailed December 11, 2003.

A. **INTRODUCTORY COMMENTS**

Reconsideration and allowance are requested in view of the following amendments and remarks. Upon entry of this Amendment, claims 1, 4, 6-12, 14, 15, 25, 28-36, and 38-44 will be pending in this application with claims 1, 11, 25 and 28 being independent claims. Support for the claims is found throughout the specification. No new matter has been added.